

11-19-07

PTO/SB/21 (09-06)

Approved for use through 3/31/2007. OMB 0651-0031

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/672,961
Filing Date	September 26, 2003
First Named Inventor	Glenn J. Leedy
Art Unit	2822
Examiner Name	Monica Lewis
Attorney Docket Number	ELM/002 Cont. 4

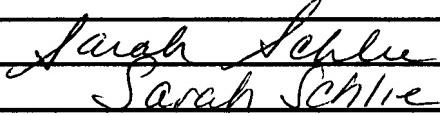
<b>ENCLOSURES (Check all that apply)</b>		
<input type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Supplemental Information Disclosure  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Formal Drawings <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney (EXECUTED)  <input type="checkbox"/> Executed Declaration  <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <ul style="list-style-type: none"> <li>1) Return Postcard</li> <li>2) 13 foreign references and 3 non-patent references</li> </ul>
<b>Remarks</b> The Director is hereby authorized to charge any fee(s) that may be due under 37 CFR 1.16 or 1.17 to Deposit Account No. <u>06-1075</u> . A duplicate copy of this letter is enclosed.		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Customer No. 1473		
Signature			
Printed name	Matthew S. Bertenthal		
Date	November 16, 2007	Reg. No.	61,129

### CERTIFICATE OF TRANSMISSION/Express Mail No. EM 111718078 US

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to Hon. Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Signature	
Typed or printed name	Sarah Schlie
Date	November 16, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



PATENTS  
ELM/002 Cont. 4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Glenn J. Leedy

Application No.: 10/672,961 Confirmation No.: 9439

Filed : September 26, 2003

For : THREE DIMENSIONAL MULTI LAYER MEMORY AND  
CONTROL LOGIC INTEGRATED CIRCUIT STRUCTURE

Group Art Unit : 2822

Examiner : Monica Lewis

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicant wishes to call the attention of the Examiner to the  
following documents:

U.S. PATENT DOCUMENTS

3,430,835	Patzer et al.	03/04/1969
4,196,232	Schnable et al.	04/01/1980
5,615,163	Sakui et al.	03/25/1997
5,786,629	Faris	07/28/1998
5,787,445	Daberko	07/28/1998
6,563,224	Leedy	05/13/2003

11/20/2007 ATRINH 00000021 061075 10672961  
01 FC:1806 180.00 DA

<u>No.</u>	<u>FOREIGN DOCUMENTS</u>		
1	JP 01-157561 A	Japan	06/20/1989
2	JP 02-037655	Japan	02/07/1990
3	JP 03-127816	Japan	05/30/1991
4	JP 03-174715	Japan	07/29/1991
5	JP 05-283607 A	Japan	10/29/1993
6	JP 08-504060 A	Japan	04/30/1996
7	JP 62-272556 A	Japan	11/26/1987
8	JP 61-30059 A	Japan	02/12/1986
9	JP 04-042957	Japan	02/13/1992
10	JP 05-109977 A	Japan	04/30/1993
11	JP 09-152979 A	Japan	06/10/1997
12	JP 10-107065	Japan	04/24/1998
13	JP 10-209371 A	Japan	08/08/1998

<u>No.</u>	<u>NON-PATENT DOCUMENTS</u>
1	S. Wolf, Silicon Processing, 1990, Lattice Press, Volume 2, Page 111.
2	Wolf, Stanley and Richard N. Tauber; Silicon Procesing For the VLSI Era, Volume 1: Process Technology; Sunset Beach, CA: Lattice Press, 1986, pp. 191-194.
3	S. Wolf, Silicon Processing For the VLSI Era, 1990, Lattice Press, Volume 2, page 191.

The aforementioned U.S. Patent Documents, which are listed on the accompanying Form PTO/SB/08 (submitted in duplicate), fall under 37 C.F.R. § 1.98(a)(2)(ii) for which the requirement to provide copies is waived. Accordingly, no copies of the aforementioned U.S. Patent Documents are provided. Copies of the aforementioned foreign documents and non-patent documents are being provided herewith.

U.S. Patent No. 3,430,835 was cited in an Office Action dated October 9, 2007 in co-pending commonly assigned U.S. Patent Application No. 10/971,341. U.S. Patent No.

4,196,232 was cited in an Office Action dated April 10, 2007 in co-pending commonly assigned U.S. Patent Application No. 10/741,647. U.S. Patent No. 6,563,224 was cited in an Office Action dated October 16, 2003 in co-pending commonly assigned U.S. Patent Application No. 10/379,820.

Above-identified foreign documents 1 and 5-13 were cited in an Office Action dated February 1, 2007 in Japanese Patent Application No. 10-543031, which is the Japanese counterpart of U.S. Patent Application No. 08/835,190, now U.S. Patent No. 5,915,167. Foreign document 2 was cited in an Office Action dated May 17, 2005 in Japanese Patent Application No. 2003-411658, now Japanese Patent No. 3816483, which is the Japanese counterpart of U.S. Patent Application No. 09/027,959, now abandoned. Foreign documents 3 and 4 were cited in an Office Action dated October 8, 2004 in Japanese Patent Application No. 2003-411658, now Japanese Patent No. 3816483, which is the Japanese counterpart of U.S. Patent Application No. 09/027,959, now abandoned.

Above-identified non-patent document 1 was cited in an Office Action dated June 1, 2007 in co-pending commonly assigned U.S. Patent Application 10/379,820. Non-patent document 2 was cited in an Office Action dated January 26, 2006 in co-pending commonly assigned U.S. Patent Application No. 10/741,647. Non-patent document 3 was cited in an Office Action dated April 20, 2006 in co-pending commonly assigned U.S. Patent Application No. 10/379,820.

It is respectfully requested that these references be: (1) fully considered by the Patent and Trademark Office

during the examination of this application; and (2) printed on any patent which may issue on this application. Applicant requests that a copy of Form PTO-SB/08A, as considered and initialed by the Examiner, be returned with the next communication.

The Examiner is advised that the following applications, listed in the table below, contain subject matter that may be related to the pending claims in the present application. In particular, applicant would like to draw the Examiner's attention to the fact that substantive examination may have occurred in these applications, and applicant invites the Examiner to review any Office Actions that have issued or will issue in these cases. At the Examiner's request, we will provide copies of any Office Actions and/or responses to Office Actions that have issued in these applications. By bringing these applications to the Examiner's attention, applicant does not waive the confidentiality provisions of 35 U.S.C. 122.

<u>Application No.</u>	<u>Filing Date</u>
10/143,200	05/13/02
10/222,816	08/19/02
10/379,820	03/03/03
10/460,483	06/11/03
10/665,757	09/19/03
10/700,429	11/03/03
10/741,602	12/18/03
10/741,647	12/18/03
10/742,282	12/19/03
10/971,341	10/22/04
11/042,581	01/24/05

The Information Disclosure Statement filed herewith is submitted after the mailing date of a Final Office Action, a Notice of Allowance, or an Office Action that otherwise closes prosecution. Accordingly, a \$180.00 fee is due pursuant to 37 C.F.R. § 1.17(p). The director is hereby authorized to charge the \$180.00 fee, and any additional fees that are due, to Deposit Account No. 06-1075.

Respectfully submitted,



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